

HAMK-26,430



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ken Hamilton

Serial No.: 10/651,387

Filed: August 29, 2003

Group: To Be Assigned

Examiner: To Be Assigned

For: DECISION ANALYSIS SYSTEM AND METHOD

Mail Stop: DD  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner of Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on the date shown below

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David C Cain  
(Name of Person Mailing Document)  
David C Cain  
(Signature)

**INFORMATION DISCLOSURE STATEMENT**

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, attached please find a Form PTO SB/08 listing information for consideration by the Office in connection with its examination of the above-captioned patent application. A copy of each listed document is enclosed herewith.

Applicant requests that this information disclosure statement be considered and that a copy of the Form PTO SB/08 be returned to the undersigned indicating the consideration of each document listed.

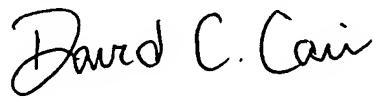
Applicant submits that no representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way reflects their relevant pertinence. The listing on the attached Form PTO SB/08 is not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that any of

the items listed are properly citable against the above-identified application as prior art. Applicant respectfully submits that his invention is patentable over the enclosed documents listed on Form PTO SB/08.

To Applicant's knowledge, this information disclosure statement is being filed before the mailing date of a first Office Action on the merits. Therefore, pursuant to 37 C.F.R. §1.97(b)(3), no fee is believed necessary for its consideration. Please charge any necessary fees or deficiencies in fees necessary for the filing of this paper or credit any overpayment to Deposit Account No. 20-0780/HAMK-26,430 of HOWISON & ARNOTT, L.L.P.

Respectfully submitted,

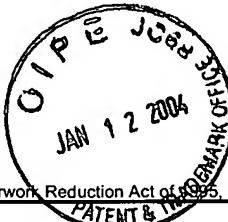
HOWISON & ARNOTT, L.L.P.  
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January 9, 2004



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Substitute for form 1449/PTC

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Sheet 1 of 3

**Complete if Known**

Application Number	10/651,387
Filing Date	August 29, 2003
First Named Inventor	Ken Hamilton
Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket Number	HAMK-26,340

**U. S. PATENT DOCUMENTS**

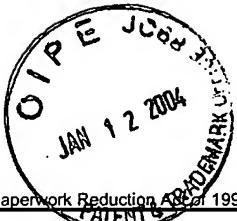
## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

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Examiner Name	To Be Assigned

Attorney Docket Number HAMK-26,340

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	01	The intelligent Solution for Quantifying Operational Risk; Operational Risk is the Risk of Loss Resulting from Inadequate or Failed Internal Processes, People and Systems or From External Events; Agena Limited, United Kingdom; www.agena.co.uk	
	02	KATHRYN BLACKMOND LASKEY ET AL.; Multisource Fusion for Opportunistic Detection and Probabilistic Assessment of Homeland Terrorist Threats; SEOR Department, George Mason University; Fairfax, VA	
	03	LINWOOD D. HUDSON; An Application of Bayesian Networks to Antiterrorism Risk Management for Military Planners	
	04	DTLR/Multi Criteria Analysis: A Manual; Department for Transport, Local Government and the Regions; United Kingdom; pp1-28; www.dtr.gov.uk/about/multicriteria/07.htm	
	05	NORMAN FENTON, ET AL.; Making Decisions: Using Bayesian Nets and MCDA; Computer Science Department, Queen Mary and Westfield College; London; Version 7; April 4, 2000; pp1-27	
	06	Groove Workspace: Software that Connects your Teams Instantly and Securely; Discuss ideas, Share files, Coordinate Projects and Meetings	
	07	Groove Platform; The Groove Platform for Decentralized Computing Extends Small-Group Interaction and the Value of Existing Business Systems across Technical and Organizational Boundaries	
	08	Criterium Decision Plus; The Complete Decision Formulation, Analysis; Guide to Group Decision-Making; Agena Limited, England	
	09	Appendix C: Integrating the Maxwell Risk Criteria Matrix (MRCM) with the Analytical Hierarchy Process (AHP): The Maxwell Risk Criteria Matrix (MRCM), as developed by Dr. Maxwell, is very useful in locating where a subsystem being evaluated for Risk is Relative to the Criteria Qualitatively	
	10	Generally-Accepted System Security Principles (GASSP); International Information Security Foundation; The International Information Security Foundation (I2SF) - Sponsored Committee to Develop and Promulgate Generally Accepted System Security Principles; June 1999; pp 1-74	

Examiner Signature	Date Considered
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PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
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HAMK-26,430

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Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	11	Information Security Forum; The Standard of Good Practice for Information Security; Version 4; March 2003	
	12	Generally Accepted System Security Principles; (GASSP); The International Information Security Foundation (12SF) Sponsored Committee to Develop and Promulgate Generally Accepted System Security Principles; pp 1-7; GASSP Home Page; web.mit.edu/security/www/gassp1.html	
	13	Risk Metrics Needed for IT Security; Risk Free; VoIP; pp1-6; www.securitypronews.com/securitypronews-24-20030805RiskMetricsNeededforITSecurity	
	14	JOHN H. SAUNDERS; A Risk Management Methodology for Information Security; The Analytic Hierarchy Process; Washington, DC; pp 1-8; file:///C:/TEMP/A%20Risk%20Management%Methodology%20for%20Information%20Security	
	15	Security Application; A Service Management Decision Analysis System and Process for Designing, Optimizing, and Managing a Service Chain Including Business Requirements, IT Services, Systems, Devices, Network, User and Application Problem Spaces	
	16	Excellent for Service Level, Change and Risk Management; The Intelligent MCDM Process Starts with the Initiation of a Group of Experts Chosen by the Facilitator	
	17	Department for Transport, Local Government and the Regions; Chapter 4; An Overview of Multi-Criteria Analysis Techniques; pp 1-12; www.dtr.gov.uk/about/multicriteria	
	18	Provisional Application; A Group Decision Process and System for the Security Lifecycle Using Multi-Criteria Decision Support; Key to the Invention is the Ability to Design, Develop, Implement, Support and Update Security Mechanisms.....	
	19	Provisional Patent Application; Relates in General to the Field Electronic Systems and More Particularly to System and Method for Extended I.T. Service Management Across a Service Chain	
	20	VERMA ET AL.; Supportability Evaluation of System Architectures; U. S. Patent Application No. 2002/0049571; Serial No.: 09/864,302; Publication Date 4/25/2002	

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